

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2004. Patent fees are subject to annual revision.

Complete if Known

Application Number 10/768,785  
Filing Date January 30, 2004  
First Named Inventor Peter C. Zhu  
Examiner Name Witherspoon, Sikarl A.  
Art Unit 1621  
Attorney Docket No. 56301P5014

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 180.00

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

### 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims 13 - 20*	0	18.00	\$0.00
Independent Claims 3 - 3*	0	88.00	\$0.00
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	88	2201	44	Independent claims in excess of 3
1203	300	2203	150	Multiple Dependent claim, if not paid
1204	88	2204	44	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

\*or number previously paid, if greater, For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1404	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	1809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180.00

## SUBMITTED BY

Name (Print/Type) Brent E. Vecchia

Registration No. 48,011  
(Attorney/Agent)

Complete (if applicable)

Telephone (303) 740-1980

Signature

*Brent E. Vecchia*

Date

Nov. 23, 2004



Docket No.: 56301P5014

FFW\$:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the application of:

PETER C. ZHU, ET AL.

Application No.: 10/768,785

Filed: January 30, 2004

For: **SYNTHESIS OF 4-SUBSTITUTED  
PHTHALALDEHYDE**

Art Group: 1621

Examiner: Witherspoon, Sikarl A.

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed). This IDS and IDS Citation Form are being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

11/30/2004 MAHMED1 00000037 10768785

01 FC:1806

180.00 OP

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: Nov. 23, 2004

Brent E. Vecchia

Brent E. Vecchia, Reg. No. 48,011

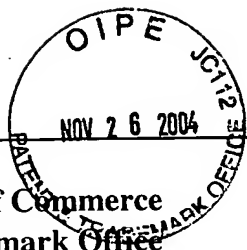
12400 Wilshire Boulevard, 7th Floor  
Los Angeles, CA 90025  
Telephone: (303) 740-1980

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Krista Mathieson Nov. 23, 2004

*Krista Mathieson*

*Date*



US Department of Commerce  
Patent and Trademark Office

Form PTO-1449 (Modified)

Atty. Docket No.:  
056301.P5014

Application No.:  
10/768,785

Applicant:  
Peter C. Zhu, et al.

Filing Date:  
January 30, 2004

### US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub- Class	Filing Date
	01/09/62	3,016,328	Pepper et al.			
	10/14/75	3,912,450	Boucher			
	07/06/76	3,968,248	Boucher			
	07/06/76	3,968,250	Boucher			
	03/13/84	4,436,754	Jacobs			
	06/03/86	4,592,892	Ueno et al.			
	09/01/87	4,690,772	Tell et al.			
	05/16/89	4,831,449	Kimura			
	07/11/89	4,847,304	Bruckner et al.			
	07/25/89	4,851,449	Bruckner et al.			
	11/20/90	4,971,999	Bruckner et al.			
	7/7/92	5,128,051	Theis et al.			
	03/09/93	5,192,459	Tell et al.			
	02/14/95	5,389,685	Smith et al.			
	02/27/96	5,494,637	Barlow			
	07/30/96	5,540,326	Arnold et al.			
	09/24/96	5,558,841	Nakagawa et al.			
	10/22/96	5,567,385	Miller et al.			
	12/23/97	5,700,377	Cox			
	06/02/98	5,761,069	Weber et al.			
	01/26/99	5,863,547	Miner			

### Foreign Patent Documents

Examiner's Initials	Date	Document Number	Country	Class	Sub- Class	Translation
------------------------	------	--------------------	---------	-------	---------------	-------------

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

Examiner	Date Considered
----------	-----------------

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant

<b>US Department of Commerce</b> <b>Patent and Trademark Office</b>  <b>Form PTO-1449 (Modified)</b>			<b>Atty. Docket No.:</b>		<b>Application No.:</b>		
			056301.P5014		10/768,785		
			<b>Applicant:</b> Peter C. Zhu, et al.				
			<b>Filing Date:</b> January 30, 2004				
<b>US Patent Documents</b>							
<b>Examiner's Initials</b>		<b>Date</b>	<b>Document Number</b>	<b>Name</b>	<b>Class</b>	<b>Sub- Class</b>	<b>Filing Date</b>
		08/10/99	5,936,001	Block			
		06/06/00	6,071,972	Block			
		06/27/00	6,080,789	Lutz			
		10/02/01	6,297,285	Lutz			
		10/30/01	6,309,658	Xia et al.			
		10/01/02	6,458,554	Hui et al.			
		10/10/95	DES. 363,019	Arnold et al.			
<b>Foreign Patent Documents</b>							
<b>Examiner's Initials</b>		<b>Date</b>	<b>Document Number</b>	<b>Country</b>	<b>Class</b>	<b>Sub- Class</b>	<b>Translation</b>
		11/11/97	11-140010	JAPAN			Yes
<b>Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
		CIDEX® OPA, High Level Disinfecting Solution, Technical Info. Advanced Sterilization Products® , © 2004. Pgs. 1-4.					
		CIDEX® OPA Solution, And Speed Has Its Advantages! © ASP© 2001, 1 pg.					
		CIDEX® OPA SOLUTION Retrieved on 8/7/2003; Retrieved online at:					
		<a href="http://www.cidex.com/products_&amp;_services/cidex/cidex_opa/index.asp">http://www.cidex.com/products_&amp;_services/cidex/cidex_opa/index.asp</a> . Pgs 1-2.					
		E.G.M. Power & A.D. Russell; "Sporicidal action of alkaline glutaraldehyde: factors influencing activity and a comparison with other aldehydes"; Journal of Applied Bacteriology 1990,69, pgs. 261-268.					
		Jose-Luis Sagripanti and Aylin Bonifacino; Food Biological Contaminants; "Effects of Salt and Serum on the Sporocidal Activity of Liquid Disinfectants"; Journal of AQAC International, Vol. 80, No. 6, 1997; pgs. 1198 - 1207.					
<b>Examiner</b>				<b>Date Considered</b>			

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant

<b>US Department of Commerce</b> <b>Patent and Trademark Office</b>  <b>Form PTO-1449 (Modified)</b>		<b>Atty. Docket No.:</b> 056301.P5014		<b>Application No.:</b> 10/768,785			
		<b>Applicant:</b> Peter C. Zhu, et al.					
		<b>Filing Date:</b> January 30, 2004					
<b>US Patent Documents</b>							
<b>Examiner's Initials</b>		<b>Date</b>	<b>Document Number</b>	<b>Name</b>	<b>Class</b>	<b>Sub- Class</b>	<b>Filing Date</b>
<b>Foreign Patent Documents</b>							
<b>Examiner's Initials</b>		<b>Date</b>	<b>Document Number</b>	<b>Country</b>	<b>Class</b>	<b>Sub- Class</b>	<b>Translation</b>
<b>Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
		Hiroshi KURONUMA, Journal of Japanese Society of Hospital Pharmacists, Vol. 36, No. 1, 2000. In Japanese; translation of introduction. "Stability of Ortho-Phthalaldehyde Solutions under Various Storage Conditions". Pgs. 55-58					
		B. Setlow, et al.; "Mechanisms of killing spores of Bacillus subtilis by acid, alkali and ethanol"; Journal of Applied Microbiology 2002, 92, pgs. 362-375.					
		Anthony C. H. Durham; "A Survey of Readily Available Chelators for Buffering Calcium ION Concentrations in Physiological Solutions", Cell Calcium 4: pgs. 33-46, 1983.					
		S.D. Rubbo, et al.; (Symposium of Chemical Disinfection: Paper VIII); "Biocidal Activities of Glutaraldehyde and Related Compounds", 1967, J. Appl. Bact. 30(1) pgs. 78-					
<b>Examiner</b>				<b>Date Considered</b>			

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant